

LAW OFFICES OF
ZAGORIN, O'BRIEN & GRAHAM, L.L.P.
401 WEST 15TH STREET, SUITE 870
AUSTIN, TEXAS 78701
(512) 347-9030 (PHONE)
(512) 347-9031 (FAX)

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Transmitted herewith for filing is a patent application as follows:

Inventor(s): Hans Eberle and Nils Gura
Title: RELIABLE MULTICAST USING MERGED ACKNOWLEDGEMENTS

Enclosed are:

- ☒ 13 Pages of Specification (including Written Description, Claims and Abstract)
- ☒ 6 Sheets of Drawings, ☒ Formal / ☐ Informal
- ☒ Declaration for Patent Application (4 pages), ☒ Executed / ☐ Unexecuted
- ☒ Assignment of the Invention (5 pages, including Cover Sheet)
- ☐ Information Disclosure Statement (____ pages)
 - ☐ with Form(s) PTO 1449 (____ page(s)) and copies of ____ reference(s)
- ☐ Applicant is a Small Entity. Statement filed: Herewith (____ pages)
- ☒ Other: Check in the amount of \$838.00
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CLAIMS AS FILED

	Number Filed	Number Extra	Rate	Fee
Basic Fee =				690.00
Total Claims	26 - 20	= 6	x \$18.00 =	108.00
Independent Claims	3 - 3	= 0	x \$78.00 =	0.00
Multiple Dependent Claims (if any) - \$260.00 fee				0.00
Other: Assignment filing fee				40.00
TOTAL FILING FEE				\$ 838.00

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EL675710773US

Respectfully submitted,

Mark Zagorin
Mark Zagorin, Reg. No. 36,067
Attorney for Applicant(s)
(512) 347-9030
(512) 347-9031 (fax)

"Express Mail" mailing label number:

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RELIABLE MULTICAST USING MERGED ACKNOWLEDGEMENTS

Hans Eberle
Nils Gura

BACKGROUND OF THE INVENTION

5 Field of the Invention

The invention relates to communication of information and more particularly to multicast operations.

Description of the Related Art

10 In current computing environments, especially networked environments, a source node on the network may wish to supply a plurality of destination nodes with the same information. In such situations, some systems provide a multicast capability in which the source node can send multiple destination nodes the same information at the same time. In such multicast operations, any number of multiple targets can receive the multicast information.

15 Referring to Fig. 1, a multicast operation is illustrated in which an initiator node I_0 simultaneously sends the same information to target nodes T_0 , T_1 , and T_2 . Because the destination or target nodes can receive the multicast information simultaneously, the multicast operation is time efficient.

20 One difficulty with multicasting simultaneous information is that it may be difficult for the initiator node who sends the information to determine if the target nodes successfully received the information. Thus, the operation is unreliable in the sense that the initiators cannot determine if the transmission was successful. If the receiving nodes send acknowledgements indicating successful receipt of the multicast information, there would be a tendency for the acknowledgements to collide or
25 otherwise contend for resources of the communication medium. That is because the targets would likely send the acknowledgements to the initiator node at the same time.

In a switched synchronous network, sending such acknowledgements could result in undesirable collisions and possible loss of acknowledgement information. In other systems, the acknowledgements may be buffered within the switch as collisions occur, or require retry as some targets would be unable to obtain the communication medium to send the acknowledgement. In either of those situations, the advantage of time efficiency is diminished if acknowledgements take a long time relative to the original multicast due to contention for resources of the communication medium connecting the sending and receiving nodes.

One way to avoid such contentions and/or collisions is to provide the information sequentially as shown in Fig. 2, rather than simultaneously, as shown in Fig. 1. In the sequential operation, the initiator node I_0 successively sends the same information at 201, 202 and 203 to the target nodes T_0 , T_1 , and T_2 . The target nodes respond sequentially with acknowledgements at 204, 205 and 206. Because the acknowledgements are sequential, they do not compete with each other for communication medium resources. Thus, the operation is reliable in the sense that the initiator can determine if the transmission was successful. However, the sequential nature of the operation for both the transmission of the information and the transmission of the acknowledgements eliminates any efficiency which could be gained from a true multicast operation in which multicast information is sent simultaneously. Thus, there is a relatively long latency for completion of the entire operation.

For certain time-critical multicast operations, it is important to minimize latency. For example, for time-critical multicast operations such as synchronization of clocks in a network, coherency protocols, and operations in databases/transaction systems such as *commit* or *abort*, minimizing latency would be advantageous.

Accordingly, it would be desirable to provide a multicast operation that is both efficient and reliable.

SUMMARY OF THE INVENTION

Accordingly, in one embodiment, the invention provides a method of multicasting, that simultaneously sends multicast information from a source to a

plurality of targets. The targets respond to the multicast information by sending acknowledgements that indicate receipt of the multicast information. The acknowledgements are merged into a merged acknowledgement, which is then supplied to the source. The source can determine from the merged acknowledgement whether the targets successfully received the multicast information.

In an embodiment, the multicast information and acknowledgements are transmitted across a network switch and the switch merges the acknowledgements before forwarding the merged acknowledgement to the source.

In another embodiment, a method is provided for transmitting information between an initiator node in a network and a plurality of target nodes. The method includes transmitting information from the initiator node to the target nodes simultaneously; simultaneously sending acknowledgements from the multiple nodes indicating receipt of the information; combining the acknowledgements and sending the combined acknowledgements to the initiator node to indicate receipt of the multicast information by the target nodes.

In another embodiment, the invention provides a data network that includes a sending node and a plurality of receiving nodes coupled to simultaneously receive information from the sending node during a multicast operation and coupled to respectfully provide acknowledgements of successful receipt of the multicast information. A switching medium supplies the multicast information to the respective receiving nodes simultaneously. Logic in the switching medium receives and combines the respective acknowledgements to provide a combined acknowledgement to the sending node. The combined acknowledgement may be a logical combination of the individual acknowledgements.

25 **BRIEF DESCRIPTION OF THE DRAWINGS**

The present invention may be better understood, and its numerous objects, features, and advantages made apparent to those skilled in the art by referencing the accompanying drawings.

Fig. 1 illustrates operation of an unreliable multicast operation in which no acknowledgements are provided by the targets.

Fig. 2 illustrates operation of sequential operation.

Fig. 3 illustrates operation of a reliable simultaneous multicast operation.

- 5 Fig. 4 illustrates an embodiment in which a multi-port switch is used for a multicast operation.

Fig. 5 illustrates an embodiment in which a multi-port switch is used to merge the acknowledgements, which indicate successful completion of the multicast operation.

- 10 Fig. 6 illustrates an embodiment in which a multi-port switch is used to merge the acknowledgements, which indicate a failed multicast operation.

Fig. 7 illustrates how single-bits can be concatenated into a vector.

Fig. 8 illustrates the transmission portion of a merged single-bit acknowledgement approach.

- 15 Fig. 9 illustrates the acknowledgement portion of the merged single-bit acknowledge operation.

The use of the same reference symbols in different drawings indicates similar or identical items.

DESCRIPTION OF THE PREFERRED EMBODIMENT(S)

- 20 Referring to Fig. 3, operation of a reliable multicast operation is illustrated. Assume the system includes multiple nodes including the illustrated initiator node I_0 and three target nodes T_0 , T_1 and T_2 . The initiator node I_0 sends information (data) to the three targets T_0 , T_1 and T_2 simultaneously, i.e., the initiator node I_0 multicasts the information to the three targets. Each target, assuming successful receipt, sends back
25 an acknowledgement (ack) to the initiator node I_0 . As described further herein, in order for the initiator node I_0 to receive the simultaneously sent acknowledgements,

the acknowledgements are merged and then provided to the initiator node. The merger operation is described further herein.

Referring to Fig. 4, the first part of a reliable multicast operation according to an embodiment of the invention is illustrated. In the first part of the multicast operation, the multicast information in the form of packet(s) P, is sent from initiator node N1 through input port 403 to target nodes N5, N6 and N7 across multiport switch 401. Note that packet(s) P may be one or more packets comprising one or more bytes of data and/or control information.

Referring to Fig. 5, the acknowledge phase of the multicast operation is illustrated. Nodes N5, N6 and N7, which received the multicast packet(s) P, respectively send acknowledge packets (ack) 501, 503 and 505 to node N1, which sent the multicast packet(s) P. Note that the exemplary acknowledge packets are shown in simplified form without information such as address, type of operation or other control information that would typically be associated with such a packet. Further note that a host typically contains both an initiator node and a target node and that the initiator and target share the input and output port of the switch. For example, N1 and N5 belong to the same host and send packets to input port 403 and receive packets from output port 405.

The exemplary multiport switch 401 includes four possible inputs and four possible outputs. Thus, in the embodiment illustrated in Fig. 5, the acknowledge packet (ack) from each multicast target node includes a vector of four bits, one bit corresponding to one of four possible output ports or targets on the switch. As illustrated in Fig. 5, the leftmost bit in the vector corresponds to node N5, the next bit to node N6, etc. Thus, when node N5 acknowledges the multicast, it sets the leftmost bit in its acknowledge vector 501 to indicate that N5 successfully received the multicast packet(s) P. Node N6 sets the bit second from the left in its acknowledge vector 503 to indicate that it successfully received the multicast packet(s) P. Node N7 sets the bit third from the left in its acknowledge vector 505.

Output port 507 merges the acknowledge packets received respectively from nodes N4, N5 and N6. As illustrated in Fig. 5, that can be accomplished by ORing together the acknowledge packets in OR logic in output port 507. When ORed

together the merged acknowledgement packet 509 is generated and supplied to node N1. Node N1 can determine from the three bits set in merged acknowledge packet 509 that nodes N5, N6 and N7 successfully received the multicast packet(s) P. Thus, multipoint switch 401 can provide a reliable and efficient multicast operation, since the acknowledge packets can be sent over the switch efficiently. That is made possible by the merging implemented in the output port.

Referring to Fig. 6, another operation of the multicast acknowledge is illustrated when some of the target nodes of the multicast operation fail to correctly receive the multicast packet P. That may be the result of, e.g., uncorrectable errors detected by the receiving node. As can be seen, only node N6 correctly received the multicast packet(s) P as indicated by the "0100" in its acknowledge packet. When the acknowledge packets from N5, N6 and N7 are ORed together, merged acknowledge packet 601 results which indicates that errors were detected by two nodes (N5 and N7). Using that information, the node initiating the multicast node can take appropriate action in response to the detected errors, such as resending the multicast packet P to the nodes that failed.

As would be known in the art, there are many other ways to encode the sources of the acknowledgements and to merge the acknowledge packets. For example, while the OR operation is possible, an embodiment could simply select the relevant bit from each output port acknowledge vector for inclusion in a merged acknowledge vector. Referring to Fig. 7, an example is shown in which single bits from each of the targets is merged into a vector. More particularly, each bit 701, 702 and 703 is concatenated to form vector 704, which is presented to the source to indicate which targets successfully received the multicast data. Alternatively, the switch could provide a count of the number of acknowledging multicast targets that indicated successful receipt, although that implementation would likely require more logic.

In a typical system, the input ports (or the control logic associated with the input ports) are aware of the multicast operation from information contained in a packet header. From that information, the control logic knows to connect the input port to the appropriate output ports. There are various approaches that could be used

to alert the output port to merge the acknowledgements received by the input ports from the various targets. For example, an acknowledgement packet may be marked as a multicast acknowledgement. Assuming that the packets to be merged arrive at the input ports simultaneously, the output port merges those packets that are destined for it and appropriately marked. Alternatively, e.g., in a pipelined network, the switch can remember that it scheduled a multicast data transfer and merge the acknowledgement packets at a particular pipeline stage in the future. It is also possible for acknowledgement packets destined for the same port to merge packets whenever there exists multiple acknowledgement packets for the same output port. That assumes that acknowledgement packets to be merged arrive simultaneously. Thus, a multicast acknowledgement would be presumed in such situations. Note that the switch settings for forwarding the acknowledgements can be inferred from settings for forwarding the multicast data.

It is also possible to merge acknowledgement packets into an acknowledgement packet containing a single bit rather than a bit vector, which is then forwarded on to the initiator node. Atomic operations are one application for a merged single bit acknowledgement. Referring to Figures 8 and 9, operation of a merged single bit acknowledgement is illustrated. In Figure 8 a multicast operation sends data from initiator node N1 to target nodes N5, N6 and N7. A forwarding mask 801 is generated that indicates which of the possible targets received the multicast data. That forwarding mask is utilized in merging the acknowledgements into a single bit as illustrated in Figure 9.

Referring to Figure 9, node N5 sends back acknowledgement 901, node N6 sends back acknowledgement 902, and node N7 sends back acknowledgement 903 as shown. Note that acknowledgement 902 indicates that node N6 failed to properly receive the multicast data. The merging is accomplished as follows. The individual acknowledgements are inverted and logically combined in AND gates 904 with the forwarding mask 801. The output of AND gates 904 are then logically combined in NOR gate 905 to provide the single bit acknowledgement 906 to the initiating node N1. In the example illustrated in Figure 9, the zero acknowledgement 902 from node N6 causes the single bit acknowledgement to be a zero indicating that a failure occurred. Note that while the acknowledgements 901, 902, and 903 from nodes N5, N6 and N7 are shown as single bits, as one of ordinary skill in the art would

understand the acknowledgements can be in the various forms, e.g., an acknowledge packet indicating successful receipt or an acknowledge packet indicating unsuccessful receipt (NACK). Further, the acknowledgement 906 can also be in the form of an acknowledge packet indicating successful transmission or no acknowledge (nack)

5 packet indicating transmission failure. An important aspect of this embodiment is that the overall success or failure of the multicast is encoded in a single bit (or bits) without providing information regarding individual multicast success or failure of the targets.

Other acknowledgement variations are also possible. For example, fine-

10 grained acknowledgements may be used in which separate bits are provided, e.g., for CRC error, permission error, buffer overflow, etc. Thus, an exemplary system combines the individual bits, e.g., for CRC error, for all the acknowledging targets. Again, individual bits can be merged into either a bit vector or a single bit. In the later case, one bit of the merged acknowledgements represent the CRC errors from all

15 the targets, one bit represents all the permission errors etc. The initiator node would know whether or not all targets successfully received the packet with or without a CRC error, or permission error, etc.

Thus, an efficient and reliable multicast operation has been described. While described in relation to a multiport switch, any switching medium that can effectively

20 merge the multicast acknowledges can effectively utilize the invention described herein.

The embodiments described above are presented as examples and are subject to other variations in structure and implementation within the capabilities of one reasonably skilled in the art. The details provided above should be interpreted as

25 illustrative and not as limiting. Variations and modifications of the embodiments disclosed herein, may be made based on the description set forth herein, without departing from the scope and spirit of the invention as set forth in the following claims.

WHAT IS CLAIMED IS:

1 1. A method of multicasting, comprising:
2 sending multicast information from a source to a plurality of targets;
3 sending respective acknowledgements from each of the targets, indicating
4 receipt of the multicast information;
5 merging the respective acknowledgements into a merged acknowledgement;
6 and
7 supplying the merged acknowledgement to the source.

1 2. The method as recited in claim 1 wherein the multicast information is
2 sent across a switch to a plurality of targets.

1 3. The method as recited in claim 2 wherein the respective
2 acknowledgements are sent from the respective targets to the switch.

1 4. The method as recited in claim 3 wherein the switch merges the
2 respective acknowledgements and forwards the merged acknowledgement to the
3 source.

1 5. The method as recited in claim 4 wherein the acknowledgements are
2 supplied in an acknowledgement packet encoding an identity of the acknowledging
3 target.

1 6. The method as recited in claim 3 wherein the switch is a synchronous
2 switch and all acknowledgements are received by the switch at the same time.

1 7. The method as recited in claim 3 wherein the switch is a network
2 switch coupling a plurality of sources and a plurality of targets in a network.

1 8. The method as recited in claim 1 wherein the merged
2 acknowledgement is formed by logically combining the respective
3 acknowledgements.

1 9. The method as recited in claim 1 wherein the merged
2 acknowledgement encodes the respective acknowledges to indicate to the source
3 which targets successfully received the multicast information.

1 10. The method as recited in claim 1 wherein the merged
2 acknowledgement indicates whether all of the targets successfully received the
3 multicast information, the merged acknowledgement not identifying which of the
4 targets successfully received or failed to successfully receive the multicast
5 information.

1 11. The method as recited in claim 10 wherein the merged
2 acknowledgement includes a single bit indicating whether all of the targets
3 successfully received the multicast information.

1 12. A networked system comprising:
2 a sending node;
3 a plurality of receiving nodes coupled to simultaneously receive multicast
4 information sent from the sending node during a multicast operation
5 and coupled to provide acknowledgements indicating whether the
6 multicast information was successfully received; and
7 a switching medium coupled to supply the multicast information to the
8 respective receiving nodes simultaneously and to receive and combine
9 the respective acknowledgements into a combined acknowledgement
10 supplied to the sending node.

1 13. The networked system as recited in claim 12 wherein the networked
2 system includes a switched data network and the switching medium is a network
3 switch.

1 14. The networked system as recited in claim 12 wherein each
2 acknowledgement comprises a plurality of bits, each bit corresponding to a different
3 node, one bit being set to indicate that a node corresponding to the one bit
4 successfully received the multicast information.

1 15. The networked system as recited in claim 14 wherein the combined
2 acknowledgement includes a plurality of bits corresponding to multicast targets, each
3 bit of the combined acknowledgement that is set corresponding to a node that
4 successfully received the multicast information.

1 16. The networked system as recited in claim 12 wherein each
2 acknowledgement comprises a plurality of bits, each bit corresponding to one of a
3 plurality of types of errors.

1 17. The networked system as recited in claim 16 wherein corresponding
2 bits from respective ones of the acknowledgements are combined in the combined
3 acknowledgement, a bit being set to a first predetermined value in the combined
4 acknowledgement to indicate that one or more of the targets had a particular one of
5 the errors and the bit being set to a second value to indicate that none of the receiving
6 nodes had the particular one of the errors.

1 18. The networked system as recited in claim 12 wherein the
2 acknowledgements from the plurality of target nodes are provided to the switching
3 medium at a fixed time relative to the sending of the multicast information.

1 19. The networked system as recited in claim 18 wherein the combined
2 acknowledgement is provided to the source node at a fixed time relative to the
3 sending of the multicast information.

1 20. The networked system as recited in claim 12 wherein the networked
2 system is pipelined.

1 21. The networked system as recited in claim 12 wherein the switching
2 medium combines the acknowledgements in response to information in each
3 acknowledgement packet that indicates a multicast acknowledgement is being sent.

1 22. The networked system as recited in claim 12 wherein the switching
2 medium combines the acknowledgements into the combined acknowledgement if the

3 acknowledgements arrive at the same time in the switching medium and are destined
4 for a same source.

1 23. The networked system as recited in claim 12 wherein the switching
2 medium combines the acknowledgements in response to having scheduled a multicast
3 data transfer.

1 24. The networked system as recited in claim 12 wherein the networked
2 system is operable to reserve switch paths for forwarding the acknowledgements
3 based on switch settings used for forwarding the multicast information.

1 25. The networked system as recited in claim 12 wherein the networked
2 system includes a plurality of hosts, each of the hosts including both a sending node
3 and a receiving node coupled to the switching medium.

1 26. An apparatus for transmitting information between an initiator node
2 and a plurality of target nodes, comprising:
3 means for multicasting information to a plurality of the target nodes from the
4 initiator node; and
5 means for combining received acknowledgements indicating whether the
6 multicast information was successfully received, into a combined
7 acknowledgement and returning the combined acknowledgement to the
8 initiator node.

RELIABLE MULTICAST USING MERGED ACKNOWLEDGEMENTS

Hans Eberle
Nils Gura

ABSTRACT OF THE DISCLOSURE

5 A source multicasts information to a plurality of targets. The targets respond to the multicast information by sending acknowledgements that indicate receipt of the multicast information. The acknowledgements are merged into a merged acknowledgement, which is then supplied to the source. The source can determine from the merged acknowledgement whether the targets successfully received the
10 multicast information.

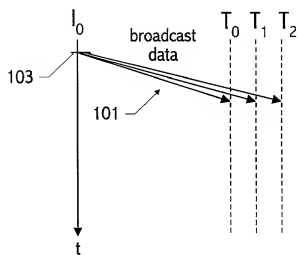


FIG. 1

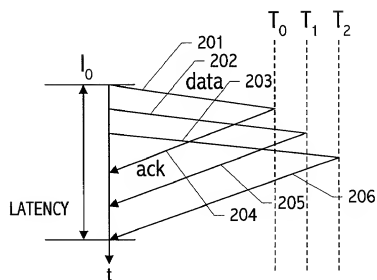


FIG. 2



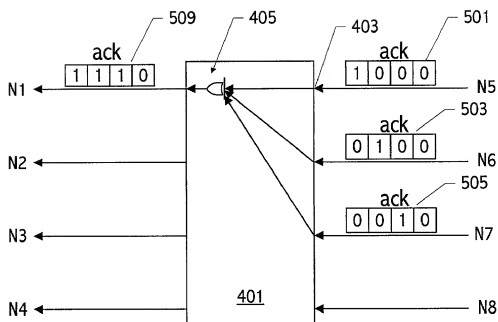


FIG. 5

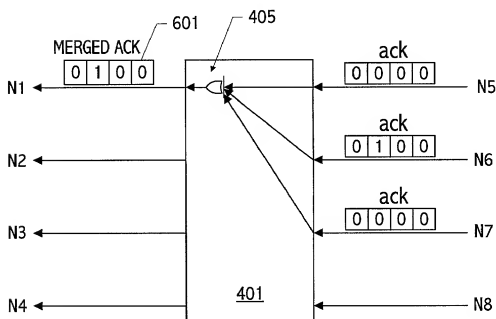


FIG. 6

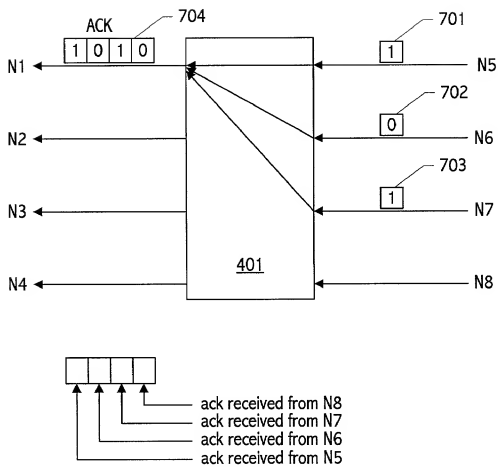


FIG. 7

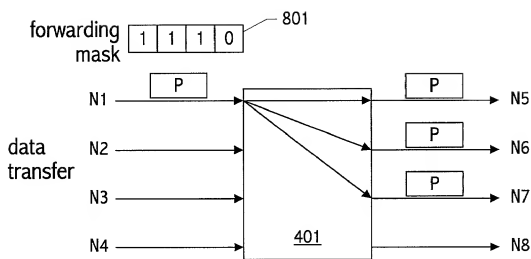


FIG. 8

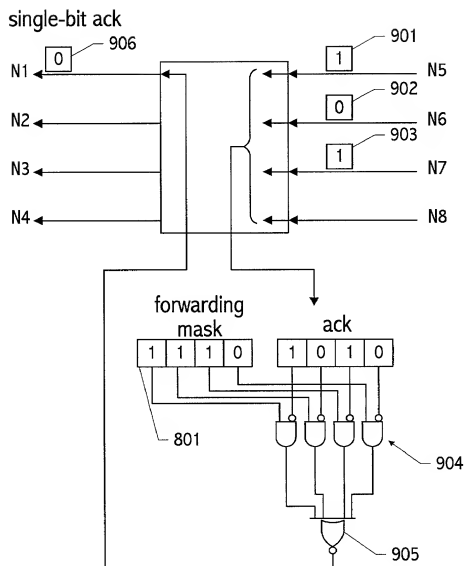


FIG. 9

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below adjacent to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of subject matter (process, machine, manufacture, or composition of matter, or an improvement thereof) which is claimed and for which a patent is sought by way of the application entitled

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which (check) ☒ is attached hereto.
☐ and is amended by the Preliminary Amendment attached hereto.
☐ was filed on _____ as Application Serial No. _____
☐ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information, which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) of any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
Number	Country	Day/Month/Year Filed	Yes	No
N/A				

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

Provisional Application Number	Filing Date
N/A	

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Application Serial No.	Filing Date	Status (patented, pending, abandoned)
N/A		

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith:

Mark Zagorin (36,067); Andrew C. Graham (36,531); David W. O'Brien (40,107); Kenneth Olsen (26,493); Timothy J. Crean (37,116); Robert S. Hauser (37,847); Joseph T. FitzGerald (33,881); Alexander E. Silverman (37,940); Christine S. Lam (37,489); Anirama Rakshpal Gupta (38,275); Sean Patrick Lewis (43,798); Michael J. Schallop (44,319); Bernice B. Chen (42,403); Kenta Suzue (45,145); Noreen A. Krall (39,734); Richard J. Lutton, Jr. (39,756); Marc Foodman (34,110); and Naren Chaganti (44,602).

Please direct all correspondence concerning this application to the USPTO Customer Number, if provided, or otherwise to the individual and/or firm named below:

Customer Number 22120
ZAGORIN, O'BRIEN & GRAHAM, L.L.P.
401 WEST 15TH STREET, SUITE 870
AUSTIN, TX 78701

Telephone: (512) 347-9030
Facsimile: (512) 347-9031

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22120

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I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole (or first joint) inventor: Hans Eberle

Inventor's Signature: _____
Residence: Mountain View, CA
Post Office Address: 464 Dell Ave.
Mountain View, CA 94043

Date: _____
Citizenship: Switzerland

Full name of second joint inventor: Nils Gura

Inventor's Signature: *Nils Gura*
Residence: Ulm, Germany
Post Office Address: Heilmeyersteige 115
89075 Ulm
Germany

Date: Sep 7, 2000
Citizenship: Germany

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below adjacent to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of subject matter (process, machine, manufacture, or composition of matter, or an improvement thereof) which is claimed and for which a patent is sought by way of the application entitled

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which (check) ☒ is attached hereto.
☐ and is amended by the Preliminary Amendment attached hereto.
☐ was filed on _____ as Application Serial No. _____
☐ and was amended on _____ (if applicable).

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Provisional Application Number	Filing Date
N/A	

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Application Serial No.	Filing Date	Status (patented, pending, abandoned)
N/A		

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith:

Mark Zagorin (36,067); Andrew C. Graham (36,531); David W. O'Brien (40,107); Kenneth Olsen (26,493); Timothy J. Crean (37,116); Robert S. Hauser (37,847); Joseph T. FitzGerald (33,881); Alexander E. Silverman (37,940); Christine S. Lam (37,489); Anirama Rakshpal Gupta (38,275); Sean Patrick Lewis (43,798); Michael J. Schallop (44,319); Bernice B. Chen (42,403); Kenta Suzue (45,145); Noreen A. Krall (39,734); Richard J. Lutton, Jr. (39,756); Marc Foodman (34,110); and Naren Chaganti (44,602).

Please direct all correspondence concerning this application to the USPTO Customer Number, if provided, or otherwise to the individual and/or firm named below:

Customer Number 22120
ZAGORIN, O'BRIEN & GRAHAM, L.L.P.
 401 WEST 15TH STREET, SUITE 870
 AUSTIN, TX 78701

Telephone: (512) 347-9030
 Facsimile: (512) 347-9031



I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole (or first joint) inventor: Hans Eberle

Inventor's Signature: *Hans Eberle*
 Residence: Mountain View, CA
 Post Office Address: 464 Dell Ave.
 Mountain View, CA 94043

Date: 8/30/2000
 Citizenship: Switzerland

Full name of second joint inventor: Nils Gura

Inventor's Signature: _____
 Residence: Ulm, Germany
 Post Office Address: Heilmeyersteige 115
 89075 Ulm
 Germany

Date: _____
 Citizenship: Germany